

21908 U.S. PTO  
10/623025

07/18/03

**UTILITY PATENT APPLICATION TRANSMITTAL**  
(Only for new nonprovisional applications under 37 CFR 1.53(b))

**Attorney Docket No.** 004085.P032  
(maximum 12 characters)

**First Named Inventor** SHOJI SUZUKI

**Title:** MAGNETIC HEAD FOR PROXIMITY RECORDING

**Express Mail Label No.** EL470164293US

**ADDRESS TO:** Commissioner for Patents  
PO Box 1450  
Alexandria, Virginia 22313-1450

**APPLICATION ELEMENTS**

**Se MPEP chapter 600 concerning utility patent application contents.**

1.  **Fee Transmittal Form (e.g., PTO/SB/17)**  
(Submit an original and a duplicate for fee processing)
2.  **Applicant Claims Small Entity Status. (37 CFR 1.27)**
3.  **Specification (Total Pages 23)**  
(preferred arrangement set forth below)
  - Descriptive Title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.  **Drawings(s) (35 USC 113) (Total Sheets 11)**
5.  **Oath or Declaration (Total Pages 3)**
  - a.  Newly Executed (Original or Copy)
  - b.  Copy from a Prior Application (37 CFR 1.63(d))  
(for Continuation/Divisional with Box 18 completed)
    - i.  **DELETIONS OF INVENTOR(S)** Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
    - c.  Unsigned.
6.  **Application Data Sheet. (37 CFR 1.76)**
7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8.  Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b.  Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9.  **Assignment Papers (cover sheet & documents(s))**  
 10. \_\_\_\_\_ a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)  
 \_\_\_\_\_ b. Power of Attorney  
 11. \_\_\_\_\_ English Translation Document (if applicable)  
 12.  a. Information Disclosure Statement (IDS)/PTO-1449  
 \_\_\_\_\_ b. Copies of IDS Citations  
 13. \_\_\_\_\_ **Preliminary Amendment**  
 14.  **Return Receipt Postcard (MPEP 503) (Should be specifically itemized)**  
 15. \_\_\_\_\_ Certified Copy of Priority Document(s) (if foreign priority is claimed)  
 16.  **Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.**  
 17A.  Other: Certificate of Express Mail with copy of postcard showing contents of Express Mail package.

17B.  Pursuant to 37 C.F.R. 1.136(a)(3), applicant(s) hereby request and authorize the U.S. Patent and Trademark Office to (1) treat any concurrent or future reply that requires a petition for extension of time as incorporating a petition for extension of time for the appropriate length of time and (2) charge all required fees, including extension of time fees and fees under 37 C.F.R. 1.16 and 1.17, to Deposit Account No. 02-2666.

18. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet Under 37 C.F.R. 1.76:

<input type="checkbox"/> Continuation	<input type="checkbox"/> Divisional	<input type="checkbox"/> Continuation-in-part (CIP)
Of Prior Application No.: _____	Examiner _____	Group Art Unit _____
(which is a <input type="checkbox"/> continuation/ <input type="checkbox"/> divisional/ <input type="checkbox"/> CIP of prior application no. _____, which is a <input type="checkbox"/> continuation/ <input type="checkbox"/> divisional/ <input type="checkbox"/> CIP of prior application no. _____) (List entire chain of priority)		

Applicant(s): Also include a Preliminary Amendment to amend the specification to claim priority.  
 For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. Correspondence Address  
 Customer Number or Bar Code Label \_\_\_\_\_  
 or \_\_\_\_\_ (Insert Customer No. or Attach Bar Code Label here)  
 Correspondence Address Below  
 NAME Daniel E. Ovanezian  
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP  
 ADDRESS 12400 Wilshire Boulevard  
Seventh Floor  
 CITY Los Angeles STATE California ZIP CODE 90025-1026  
 Country U.S.A. TELEPHONE (408) 720-8300 FAX (408) 720-8383

Name (PRINT/TYPE): Daniel E. Ovanezian Registration No.: 41,236  
 Signature: Daniel E. Ovanezian Date: 7/18/03

**REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor Shoji Suzuki  
Title MAGNETIC HEAD FOR PROXIMITY RECORDING

Attorney Docket No. 004085.P032

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

7/18/03

Date



Signature

Daniel E. Ovanezian

Typed or Printed Name

41,236

Registration No.

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months after the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Send to: Commissioner for Patents, PO Box 1450, Alexandria, Virginia 22313-1450.

## **FEE TRANSMITTAL FOR FY 2003**

**TOTAL AMOUNT OF PAYMENT (\$)** \$1,300

**Complete if Known:**

**Application No.** Not yet assigned

**Filing Date** Herewith

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**First Named Inventor** Shoji Suzuki

Group Art Unit \_\_\_\_\_ Not yet assigned

Examiner Name Not yet assigned

Attorney Docket No. 004085.P032

**METHOD OF PAYMENT** (check one)

1. [ X ] The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

**Deposit Account Number** 02-2666

**Deposit Account Name** \_\_\_\_\_

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

[ ] Applicant claims small entity status. See 37 CFR 1.27

2.  Payment Enclosed:  Check  
 Money Order  
 Other

## **FEE CALCULATION**

**1. BASIC FILING FEE**

<u>Large Entity</u>	<u>Small Entity</u>	<u>Fee Description</u>	<u>Fee Paid</u>
Fee	Fee		
Code	(\$)	Utility application filing fee	750.00
1001	750	2001	375
1002	330	2002	165
1003	520	2003	260
1004	750	2004	375
1005	160	2005	80
		Design application filing fee	
		Plant filing fee	
		Reissue filing fee	
		Provisional application filing fee	

**SUBTOTAL (1) \$ 750.00**

**2. EXTRA CLAIM FEES**

	<u>Extra Claims</u>	<u>Fee from below</u>	<u>Fee Paid</u>
Total Claims    39	- 20** =    19	X    18.00	=    342
Independent Claims    5	- 3** =    2	X    84.00	=    168
Multiple Dependent		=	

**\*\*Or number previously paid, if greater: For Reissues, see below.**

<u>Large Entity</u>		<u>Small Entity</u>		
Fee	Fee	Fee	Fee	<u>Fee Description</u>
Code	(\$)	Code	(\$)	
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple dependent claim, if not paid
1204	84	2204	42	**Reissue independent claims over original patent
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2) \$ 510.00**

**FEE CALCULATION (continued)**

**3. ADDITIONAL FEES**

<u>Larg Entity</u>	<u>Small Entity</u>	<u>Fee Description</u>	<u>Fee Paid</u>
Fe	F	Fee	Fee
Code	(\$)	Code	(\$)
1051	130	2051	65
1052	50	2052	25
1053	130	1053	130
1812	2,520	1812	2,520
1813	8,800	1813	8,800
1804	920*	1804	920*
1805	1,840*	1805	1,840*
1251	110	2251	55
1252	410	2252	205
1253	930	2253	465
1254	1,450	2254	725
1255	1,970	2255	985
1401	320	2401	160
1402	320	2402	160
1403	280	2403	140
1451	1,510	1451	1,510
1452	110	2452	55
1453	1,300	2453	650
1501	1,300	2501	650
1502	470	2502	235
1503	630	2503	315
1460	130	1460	130
1807	50	1807	50
1806	180	1806	180
8021	40	8021	40
		Recording each patent assignment per property (times number of properties)	<u>40.00</u>
1809	750	2809	375
		For filing a submission after final rejection (see 37 CFR 1.129(a))	
1814	110	2814	55
1810	750	2810	375
		Statutory Disclaimer	
		For each additional invention to be examined (see 37 CFR 1.129(b))	
1801	750	2801	375
1802	900	1802	900
		Request for Continued Examination (RCE)	
		Request for expedited examination of a design application	
1504	300	1504	300
1505	300	1505	300
1803	130	1803	130
1808	130	1808	130
1454	1,300	1454	1,300
		Publication fee for early, voluntary, or normal pub.	
		Publication fee for republication	
		Request for voluntary publication or republication	
		Processing fee under 37 CFR 1.17(i) (except provisionals)	
		Acceptance of unintentionally delayed claim for priority	
<i>Other fee (specify)</i> _____			
<i>Other fee (specify)</i> _____			
<b>SUBTOTAL (3) \$ 40.00</b>			

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY:**

Typed or Printed Name: Daniel E. Ovanezian

Signature: Daniel E. Ovanezian Date: 7/18/03

Reg. Number: 41,236 Telephone Number: (408) 720-8300

EL4701642934S

"Express Mail" mailing label number:  
7/18/03  
Date of Deposit:

I hereby certify that I am causing this paper or fee to  
be deposited with the United States Postal Service  
"Express Mail Post Office to Addressee" service on  
the date indicated above and that this paper or fee  
has been addressed to Commissioner for Patents, PO Box 1450,  
Alexandria, Virginia 22313-1450.

JUL 17 A BRISCE

(Typed or printed name of person mailing paper or fee)

(Signature of person mailing paper or fee)  
JUL 18/03

(Date signed)

Herewith

Filing Issue Date:

JHS/DEO/JB

Serial/Patent No.: KOMAG, INC.

Client: MAGNETIC HEAD FOR PROXIMITY RECORDING

Title:

Atty/Secty Initials: \_\_\_\_\_ Docket Due Date: \_\_\_\_\_

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

Express Mail #4701642934S  Check No. 58971

Month(s) Extension of Time 6  Check No. \$12692

Information Disclosure Statement & PTO-1449 (6 pgs.)  Check No. \$40

Issue Fee Transmittal  Notice of Appeal

Petition for Extension of Time  Petition for \_\_\_\_\_

Postcard  Power of Attorney (       pgs.)

Preliminary Amendment (       pgs.)  Reply Brief (       pgs.)

Assignment and Cover Sheet  Response to Notice of Missing Parts

Certificate of Mailing  Small Entity Declaration for Indep. Inventor/Small Business

Declaration & POA (3 pgs.)  Transmittal Letter, in duplicate

Disclosure Doc & Orig & Copy of Inventor's Signed Letter (       pgs.)  Fee Transmittal, in duplicate

Other: Cited Art (32)  
(2) (B) (1)